

Declaration for Patent Application

Docket Number: 1522.0030004MAC/BJD

As a below named inventor, I hereby declare that:

My residence, post office address and citizenship are as stated below next to my name.

I believe I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural names are listed below) of the subject matter that is claimed and for which a patent is sought on the invention entitled: Compositions and Methods for Non-targeted Activation of Endogenous Genes, the specification of which is attached hereto unless the following box is checked:

- ☒ was filed on March 26, 1999;
as United States Application Number or PCT International Application Number 09/276,820; and
was amended on _____ (if applicable).

I hereby state that I have reviewed and understand the contents of the above identified specification, including the claims, as amended by any amendment referred to above.

I acknowledge the duty to disclose information that is material to patentability as defined in 37 C.F.R. § 1.56.

I hereby claim foreign priority benefits under 35 U.S.C. § 119(a)-(d) or § 365(b) of any foreign application(s) for patent or inventor's certificate, or § 365(a) of any PCT international application, which designated at least one country other than the United States listed below, and have also identified below any foreign application for patent or inventor's certificate, or PCT international application having a filing date before that of the application on which priority is claimed.

Prior Foreign Application(s)			Priority Claimed
_____	_____	_____	<input type="checkbox"/> Yes <input type="checkbox"/> No
(Application No.)	(Country)	(Day/Month/Year Filed)	
_____	_____	_____	<input type="checkbox"/> Yes <input type="checkbox"/> No
(Application No.)	(Country)	(Day/Month/Year Filed)	

I hereby claim the benefit under 35 U.S.C. § 119(e) of any United States provisional application(s) listed below.

_____	_____
(Application No.)	(Filing Date)
_____	_____
(Application No.)	(Filing Date)

I hereby claim the benefit under 35 U.S.C. § 120 of any United States application(s), or under § 365(c) of any PCT international application designating the United States, listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States or PCT international application in the manner provided by the first paragraph of 35 U.S.C. § 112, I acknowledge the duty to disclose information that is material to patentability as defined in 37 C.F.R. § 1.56 that became available between the filing date of the prior application and the national or PCT international filing date of this application.

<u>09/263,814</u>	<u>March 8, 1999</u>	<u>Pending</u>
(Application No.)	(Filing Date)	(Status - patented, pending, abandoned)
<u>09/253,022</u>	<u>February 19, 1999</u>	<u>Pending</u>
(Application No.)	(Filing Date)	(Status - patented, pending, abandoned)
<u>09/159,643</u>	<u>September 24, 1998</u>	<u>Abandoned</u>
(Application No.)	(Filing Date)	(Status - patented, pending, abandoned)
<u>08/941,223</u>	<u>September 26, 1997</u>	<u>Abandoned</u>
(Application No.)	(Filing Date)	(Status - patented, pending, abandoned)

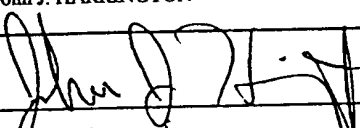
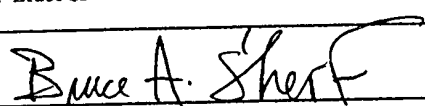
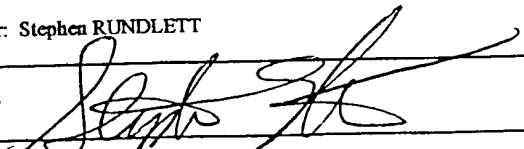
Send Correspondence to:

STERNE, KESSLER, GOLDSTEIN & FOX P.L.L.C.
1100 New York Avenue, N.W.
Suite 600
Washington, D.C. 20005-3934

Direct Telephone Calls to:

(202) 371-2600

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

Full name of sole or first inventor: John J. HARRINGTON	
Signature of sole or first inventor	 7/1/99 Date
Residence	6487 Meadowbrook Dr., Mentor OH 44060
Citizenship	USA
Post Office Address	6487 Meadowbrook Dr., Mentor OH 44060
Full name of second inventor: Bruce SHERF	
Signature of second inventor	 7/1/99 Date
Residence	7012 Avon Lk Rd, Spencer, OH, 44275
Citizenship	USA
Post Office Address	7012 Avon Lk. Rd, Spencer, OH, 44275
Full name of third inventor: Stephen RUNDLETT	
Signature of third inventor	 7/1/99 Date
Residence	703 Bell Rd. Chagrin Falls, OH, 44022
Citizenship	USA 70
Post Office Address	703 Bell Rd. Chagrin Falls, OH 44022

(Supply similar information and signature for subsequent joint inventors, if any)

Attorney's Docket No. 5817-7

PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

First Named Inventor: Harrington et al.

Group Art Unit: 1632

Application No.: 09/276,820

Examiner Name: Shukla, R.

Filed: March 26, 1999

For: COMPOSITIONS AND METHODS FOR
NON-TARGETED ACTIVATION OF
ENDOGENOUS GENES

Assistant Commissioner for Patents
Washington, DC 20231

REVOCATION OF POWER OF ATTORNEY
AND NEW POWER OF ATTORNEY BY ASSIGNEE

Sir:

Assignee hereby revokes all powers of attorney previously granted with respect to the above-identified patent application, and appoints the practitioners associated with the Customer Number provided below to prosecute this application and to transact all business in the Patent and Trademark Office connected therewith, and directs that all correspondence be addressed to that Customer Number:

Customer Number 000826

with full power of substitution and revocation to transact all business in the Patent and Trademark Office in connection therewith.

Please direct all communications to the attention of:

Anne Brown

Registration No. 36,463

Tel Raleigh Office (919) 420-2200

Fax Raleigh Office (919) 420-2260

Assignee hereby elects under 37 C.F.R. § 3.71 to prosecute this patent application and certifies that it is the assignee of the entire right, title, and interest in the patent application identified above, and in any divisionals or continuations thereof, by virtue of:

An assignment from the inventors of the patent application identified above.

The assignment was recorded in the Patent and Trademark Office at Reel 010064,
Frame 0420.

7299

07-07-1999

Form PTO-1595
6-93

101085840

HEET

U.S. Department of Commerce
Patent and Trademark Office

To the Honorable Commissioner of Patents and Trademarks. Please record the attached original documents or copy thereof.

1. Name of conveying party(ies):

1. John J. HARRINGTON,
2. Bruce SHERF and
3. Stephen RUNDLETT.

Additional name(s) of conveying party(ies) attached? ☐ yes ☒ no

3. Nature of Conveyance:

- | | |
|--|---|
| <input checked="" type="checkbox"/> Assignment | <input type="checkbox"/> Merger |
| <input type="checkbox"/> Security Agreement | <input type="checkbox"/> Change of Name |
| <input type="checkbox"/> Other _____ | |

Execution Date(s): July 1, 1999, as to all assignors.

2. Name and address of receiving party(ies):

Name: Athersys, Inc.

Street Address: 11000 Cedar Avenue

City: Cleveland State: Ohio Zip Code: 44106

Country: United States

Additional name(s) & address(es) attached? ☐ yes ☒ no

4. Application number(s) or patent number(s):

If this document is being filed together with a new application, the execution date of the application is

A. Patent Application No(s). 09/276,820

B. Patent No(s).

jc584 U.S. PTO
09/484331

01/18/00

Additional numbers attached? ☐ yes ☒ no

5. Name and address of party to whom correspondence concerning document should be mailed:

Name: Sterne, Kessler, Goldstein & Fox P.L.L.C.

Internal Address: c/o

Street Address: 1100 New York Ave., N.W.
Suite 600

City: Washington State: D.C. Zip Code: 20005-3934

6. Total number of applications and patents involved

1

7. Total fee (37 C.F.R. § 3.41).....\$ 40.00

☐ Enclosed☐ Authorized to be charged to Deposit Account

8. Deposit Account Number: 19-0036

DO NOT USE THIS SPACE

9. Statement and signature.

To the best of my knowledge and belief, the foregoing information is true and correct and any attached copy is a true copy of the original document.

Brian J. Del Buono

Name of Person Signing
Registration No. 42,473

Signature

July 2, 1999

Date

Total number of pages including cover sheet, attachments and document 3

OMB NO. 0651-0011 (exp 4/94)

07/06/1999 DNGUYEN 00000208 09276820

01 FC:581

40.00 00

Mail documents to be recorded with required cover sheet information to:
Commissioner of Patents and Trademarks, Box Assignments
Washington, D.C. 20231

Certificate Under 37 C.F.R. § 3.73(b)

Applicant/Patent Owner: John J. HARRINGTON, Bruce SHERF and Stephen RUNDLETT

Application No./Patent No.: 09/276,820 Filed/Issue Date: March 26, 1999

Entitled: Compositions and Methods for Non-targeted Activation of Endogenous Genes

Athersys, Inc. a Corporation

(Name of Assignee)

(Type of Assignee, e.g., corporation, partnership, university, government agency, etc.)

states that it is:

1. ☒ the assignee of the entire right, title, and interest, or
2. ☐ an assignee of an undivided part interest

in the patent application/patent identified above by virtue of either:

- A. ☒ An Assignment from the inventor(s) of the patent application/patent identified above. The assignment was recorded in the Patent and Trademark Office at Reel _____, Frame _____, or for which a copy thereof is attached.

OR

- B. ☐ A chain of title from the inventor(s) of the patent application/patent identified above to the current assignee as shown below:

1. From: _____ To: _____
The document was recorded in the Patent and Trademark Office at Reel _____, Frame _____, or for which a copy thereof is attached.
2. From: _____ To: _____
The document was recorded in the Patent and Trademark Office at Reel _____, Frame _____, or for which a copy thereof is attached.
3. From: _____ To: _____
The document was recorded in the Patent and Trademark Office at Reel _____, Frame _____, or for which a copy thereof is attached.

☐ Additional documents in the chain of title are listed on a supplemental sheet.

☒ Copies of assignments or other documents in the chain of title are attached.

NOTE: A separate copy (i.e., the original assignment document or a true copy of the original document) must be submitted to Assignment Division in accordance with 37 CFR Part 3, if the assignment is to be recorded in the records of the PTO. See MPEP 302-302.8]

The undersigned (whose title is supplied below) is empowered to act on behalf of the assignee.

Date: 7/1/99

Name: JAMES J. KORSHAK

Title: CHIEF OPERATING OFFICER

Signature: [Signature]

15584 U.S. PTO
09/484331



ASSIGNMENT

In consideration of the sum of One Dollar (\$1.00) or equivalent and other good and valuable consideration paid to each of the undersigned inventor(s): John J. HARRINGTON, Bruce SHERF and Stephen RUNDLETT, the undersigned inventor(s) hereby sell(s) and assign(s) to Athersys, Inc. (the Assignee) his/her entire right, title and interest, including the right to sue for and collect for all past, present and future damages:

check applicable box(es) ☒ for the United States of America (as defined in 35 U.S.C. § 100),
☒ and throughout the world,

(a) in the invention(s) known as Compositions and Methods for Non-targeted Activation of Endogenous Genes for which application(s) for patent in the United States of America has (have) been executed by the undersigned on July 1, 1999 (also known as United States Application No. 09/276,820, filed March 26, 1999), in any and all applications thereon, in any and all Letters Patent(s) therefor, and

MAC
Reg No. 33851

(b) in any and all applications that claim the benefit of the patent application listed above in part (a), including continuing applications, reissues, extensions, renewals and reexaminations of the patent application or Letters Patent therefor listed above in part (a), to the full extent of the term or terms for which Letters Patents issue, and

(c) in any and all inventions described in the patent application listed above in part (a), and in any and all forms of intellectual and industrial property protection derivable from such patent application, and that are derivable from any and all continuing applications, reissues, extensions, renewals and reexaminations of such patent application, including, without limitation, patents, applications, utility models, inventor's certificates, and designs together with the right to file applications therefor; and including the right to claim the same priority rights from any previously filed applications under the International Agreement for the Protection of Industrial Property, or any other international agreement, or the domestic laws of the country in which any such application is filed, as may be applicable;

all such rights, title and interest to be held and enjoyed by the above-named Assignee, its successors, legal representatives and assigns to the same extent as all such rights, title and interest would have been held and enjoyed by the Assignor had this assignment and sale not been made.

The undersigned inventor(s) agree(s) to execute all papers necessary in connection with the application(s) and any continuing (continuation, divisional, or continuation-in-part), reissue, reexamination or corresponding application(s) thereof and also to execute separate assignments in connection with such application(s) as the Assignee may deem necessary or expedient.

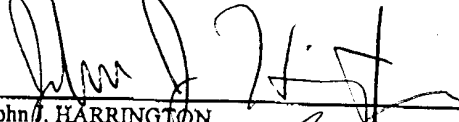
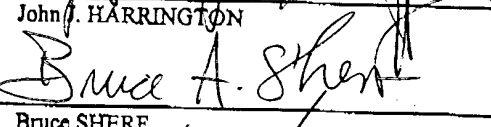
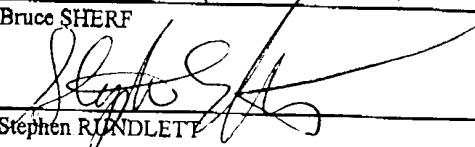
The undersigned inventor(s) agree(s) to execute all papers necessary in connection with any interference or patent enforcement action (judicial or otherwise) related to the application(s) or any continuing (continuation, divisional, or continuation-in-part), reissue or reexamination application(s) thereof and to cooperate with the Assignee in every way possible in obtaining evidence and going forward with such interference or patent enforcement action.

The undersigned inventor(s) hereby represent(s) that he/she has full right to convey the entire interest herein assigned, and that he/she has not executed, and will not execute, any agreement in conflict therewith.

The undersigned inventor(s) hereby grant(s) Robert Greene Sterne, Esquire, Registration No. 28,912; Edward J. Kessler, Esquire, Registration No. 25,688; Jorge A. Goldstein, Esquire, Registration No. 29,021; Samuel L. Fox, Esquire, Registration No. 30,353; David K.S. Cornwell, Esquire, Registration No. 31,944; Robert W. Esmond, Esquire, Registration No. 32,893; Tracy-Gene G. Durkin, Esquire, Registration No. 32,831; Michele A. Cimbala, Esquire, Registration No. 33,851; Michael B. Ray, Esquire, Registration No. 33,997; Robert E. Sokohl, Esquire, Registration No. 36,013; Eric K. Steffe, Esquire, Registration No. 36,688; Michael Q. Lee, Esquire,

Registration No. 35,239; and Steven R. Ludwig, Registration No. 36,203, of STERNE, KESSLER, GOLDSTEIN & FOX P.L.L.C., 1100 New York Avenue, N.W., Suite 600, Washington, D.C. 20005-3934, power to insert in this assignment any further identification that may be necessary or desirable in order to comply with the rules of the United States Patent and Trademark Office for recordation of this document.

IN WITNESS WHEREOF, executed by the undersigned inventor(s) on the date opposite his/her name.

Date: <u>7/1/99</u>	Signature of Inventor: <u></u> John F. HARRINGTON
Date: <u>7/1/99</u>	Signature of Inventor: <u></u> Bruce SHERF
Date: <u>7/1/99</u>	Signature of Inventor: <u></u> Stephen RINDLETT



UNITED STATES DEPARTMENT OF COMMERCE
Patent and Trademark Office
ASSISTANT SECRETARY AND COMMISSIONER
OF PATENTS AND TRADEMARKS
Washington, D.C. 20231

SEPTEMBER 02, 1999

PTAS

STERNE, KESSLER, GOLDSTEIN & FOX P.L.L.C
BRIAN J. DEL BUONO
1100 NEW YORK AVE., N.W.
SUITE 600
WASHINGTON, D.C. 20005-3934



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UNITED STATES PATENT AND TRADEMARK OFFICE
NOTICE OF RECORDATION OF ASSIGNMENT DOCUMENT

THE ENCLOSED DOCUMENT HAS BEEN RECORDED BY THE ASSIGNMENT DIVISION OF THE U.S. PATENT AND TRADEMARK OFFICE. A COMPLETE MICROFILM COPY IS AVAILABLE AT THE ASSIGNMENT SEARCH ROOM ON THE REEL AND FRAME NUMBER REFERENCED BELOW.

PLEASE REVIEW ALL INFORMATION CONTAINED ON THIS NOTICE. THE INFORMATION CONTAINED ON THIS RECORDATION NOTICE REFLECTS THE DATA PRESENT IN THE PATENT AND TRADEMARK ASSIGNMENT SYSTEM. IF YOU SHOULD FIND ANY ERRORS OR HAVE QUESTIONS CONCERNING THIS NOTICE, YOU MAY CONTACT THE EMPLOYEE WHOSE NAME APPEARS ON THIS NOTICE AT 703-308-9723. PLEASE SEND REQUEST FOR CORRECTION TO: U.S. PATENT AND TRADEMARK OFFICE, ASSIGNMENT DIVISION, BOX ASSIGNMENTS, CG-4, 1213 JEFFERSON DAVIS HWY, SUITE 320, WASHINGTON, D.C. 20231.

RECORDATION DATE: 07/02/1999

REEL/FRAME: 010064/0420
NUMBER OF PAGES: 3

BRIEF: ASSIGNMENT OF ASSIGNOR'S INTEREST (SEE DOCUMENT FOR DETAILS).

ASSIGNOR:
HARRINGTON, JOHN J.

DOC DATE: 07/01/1999

ASSIGNOR:
SHERF BRUCE

DOC DATE: 07/01/1999

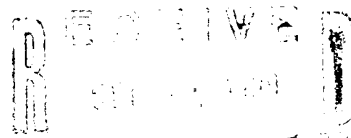
ASSIGNOR:
RUNDLETT, STEPHEN

DOC DATE: 07/01/1999

ASSIGNEE:
ATHERSYS, INC.
1100 CEDAR AVENUE
CLEVELAND, OHIO 44106

SERIAL NUMBER: 09276820
PATENT NUMBER:

FILING DATE: 03/26/1999
ISSUE DATE:



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